

Human Resources Management Section Table of Contents

Equal Employment Opportunity (EEO)	HRM-001
Disciplinary Action	HRM-002
Grievance and Appeal - Employee (Policy)	HRM-003
Grievance and Appeal - Employee (Procedure)	HRM-004
Reduction In Force (RIF)	HRM-005
Workplace Violence	HRM-026
Organizational Charts	HRM-006
Classification Process	HRM-007
Salary Administration Guidelines	HRM-008
Special Work Assignments	HRM-009
Workers' Compensation (Policy)	HRM-010
Workers' Compensation (Procedure)	HRM-011
Overtime Compensation for Positions Not Subject to FLSA	HRM-012
Overtime Compensation for Positions Subject to FLSA	HRM-013
Adverse Weather	HRM-014
Flexible Work Options (Policy)	HRM-015
Flexible Work Options (Procedure)	HRM-016
Vacation and Sick Leave (Policy)	HRM-017
Vacation and Sick Leave (Procedure)	HRM-018
Community Service Leave	HRM-025
Overdrawn Leave	HRM-019
Leave of Absence	HRM-020
Retirement	HRM-021
Voting Privileges	HRM-022
Leaving for Political Activities	HRM-023
Mailing Confidential Personnel Records	HRM-024

Human Resources Management Section Index

Adverse Weather	HRM-014
Classification Process	HRM-007
Community Service Leave	HRM-025
Disciplinary Action	HRM-002
Equal Employment Opportunity (EEO)	HRM-001
Flexible Work Options (Policy)	HRM-015
Flexible Work Options (Procedure)	HRM-016
Grievance and Appeal - Employee (Policy)	HRM-003
Grievance and Appeal - Employee (Procedure)	HRM-004
Leave of Absence	HRM-020
Leaving for Political Activities	HRM-023
Mailing Confidential Personnel Records	HRM-024
Organizational Charts	HRM-006
Overdrawn Leave	HRM-019
Overtime Compensation for Positions Not Subject to FLSA	HRM-012
Overtime Compensation for Positions Subject to FLSA	HRM-013
Reduction In Force (RIF)	HRM-005
Retirement	HRM-021
Salary Administration Guidelines	HRM-008
Special Work Assignments	HRM-009
Vacation and Sick Leave (Policy)	HRM-017
Vacation and Sick Leave (Procedure)	HRM-018
Voting Privileges	HRM-022
Workers' Compensation (Policy)	HRM-010
Workers' Compensation (Procedure)	HRM-011
Workplace Violence	HRM-026

Department of Administration Internal Operating Policies

Section: Human Resources Management **Number:** HRM-001
Subject: Equal Employment Opportunity (EEO) **Eff. Date:** 1-1-2003
Approved by: Secretary Swinson **Page** 1 **of** 1

Purpose:

To implement an EEO Plan fully committed to equal and fair personnel practices including, but not limited to the recruitment, hiring and retention of employees.

Policy Statement:

It is the policy of DOA, as well as the State of North Carolina, that neither race, religion, color, creed, national origin, sex, age, political affiliation, nor handicapping condition is to be considered in the recruitment and selection of new employees of the State; selection of employees for promotion, training, career development, transfer, demotion for fiscal purposes, and/or reduction-in-force; administration of disciplinary policies or termination for cause; and establishment of rates of pay including the awarding of salary adjustments and/or annual salary increases.

Note: DOA's Equal Employment Opportunity Policy, in comprehensive form, is located in the appendix of this manual.

Reference: Section 1, page 1, Equal Employment Opportunity, State Personnel Manual

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Policies

Section: Human Resources Management **Number:** HRM-002
Subject: Disciplinary Actions **Eff. Date:** 1-1-2003
Approved by: Secretary Swinson **Page 1 of 1**

Purpose:

To provide for DOA employees and management a fair, clear and useful tool for correcting and improving performance problems, as well as to provide a process to assist management in handling cases of unacceptable personal conduct.

Policy Statement:

Please refer to the DOA Disciplinary Action and Dismissal Policy.

Note: The DOA Disciplinary Action and Dismissal Policy, in comprehensive form, is located in the appendix of this manual.

Reference: Disciplinary Action, Suspension and Dismissal, section 7, page 1 of the State Personnel Manual

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Policies

Section: Human Resources Management **Number:** HRM-003
Subject: Grievance and Appeal - Employee (Policy) **Eff. Date:** 1-1-2003
Approved by: Secretary Swinson **Page 1 of 1**

Purpose:

To provide a means of communication between supervisors and employees and establish principles of administration to ensure a prompt, orderly and fair response to an employee's grievance or complaint.

Policy Statement:

Any career employee having a grievance arising out of or due to employment, who does **NOT** allege discrimination because of age, sex, race, color, national origin, religion, creed, handicapping condition (disability) or political affiliation shall first discuss the problem or grievance with his/her supervisor or the appropriate supervisor and follow the grievance procedure established by DOA.

Note: DOA's Grievance and Appeal Policy and Procedure, in comprehensive form, is located in the appendix of this manual.

Reference: Employee Appeals and Grievances, section 7, page 26, State Personnel Manual
HRM-004, Grievance and Appeal - Employee (Procedure), DOA Policy and Procedure Manual

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Procedures

Section: Human Resources Management **Number:** HRM-004
Subject: Grievance and Appeal - Employee (Proc.) **Eff. Date:** 1-1-2003
Approved by: Secretary Swinson **Page** 1 **of** 1

Purpose:

To establish a controlled system of employee appeals and grievances as established by State Personnel Policy and DOA Grievance and Appeal Policy.

Action:

Responsibility of Division Director

1. Any employee dismissed or suspended from work shall be notified in the letter of dismissal to contact DOA HRM for their rights of appeal and grievance and shall be given a copy of the DOA Grievance and Appeal Procedure.

Responsibility of DOA HRM

2. Inform the employee of his/her rights of appeal and grievance and assist them where possible.

Note: DOA's Grievance and Appeal Policy and Procedure, in comprehensive form, is located in the appendix of this manual.

Reference: Employee Appeals and Grievances, section 7, page 26, State Personnel Manual HRM-003, Grievance and Appeal - Employee (Policy), DOA Policy and Procedure Manual

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Policies

Section:	<u>Human Resources Management</u>	Number:	<u>HRM-005</u>
Subject:	<u>Reduction-In-Force (RIF)</u>	Eff. Date:	<u>1-1-2003</u>
Approved by:	<u>Secretary Swinson</u>	Page	1 of 1

Purpose:

To establish an internal policy that follows the RIF policy and guidelines stated in the State Personnel Manual.

Policy Statement:

The appointing authority in the Department of Administration may separate an employee whenever it is necessary due to shortage of funds or work, abolishment of a position or other material change in duties or organization. The Secretary and Deputy Secretaries of DOA will identify organizational units within their jurisdiction, which may be reduced to satisfy mandated goals for eliminating positions. In accordance with federal guidelines affecting equal employment opportunity, all decisions concerning reduction-in-force will be examined by the EEO Officer to ensure that they do not cause underutilization by race and sex or adversely affect any protected groups. The HRM Director and the EEO Officer will monitor the implementation of any RIF procedures to ensure compliance with State Personnel policies and with applicable statutes governing employee rights. Retention of employees in classes affected shall be based on systematic consideration of all the following factors: type of appointment, relative efficiency, actual and/or potential adverse impact on protected group of individuals and length of service. In reduction-in-force situations where seniority or years of service is one of the considerations in retention, an eligible veteran shall be awarded one year of state service for each year or fraction thereof of military service, up to a maximum of five (5) years credit. However, neither temporary, probationary, nor trainee employees in their initial six months of training shall be retained in classes where permanent employees (those who have completed a probationary or equivalent trial period) must be separated in the same or related class.

Note: The DOA RIF Policy, in comprehensive form, is located in the appendix of this manual.

Reference: Reduction-In-Force, section 11, page 5, State Personnel Manual

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Policies

Section: Human Resources Management **Number:** HRM-006
Subject: Organizational Charts **Eff. Date:** 1-1-2003
Approved by: Secretary Swinson **Page 1 of 1**

Purpose:

To update all DOA organizational charts as amended.

Policy Statement:

All changes made in the organizational structure of a division must be submitted to the DOA HRM Office as they occur.

The division within DOA will provide the HRM Office with changes/updates for their respective division quarterly. The HRM Office will correct and maintain updated versions of organizational charts for all divisions within DOA.

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Procedures

Section: Human Resources Management **Number:** HRM-007
Subject: New Position/Classification Change **Eff. Date:** 1-1-2003
Approved by: Secretary Swinson **Page** 1 **of** 1

Purpose:

To establish a controlled system for requests for an additional position or a change in classification of an existing position by assigning responsibilities to each position and to assure compliance with Office of State Personnel requirements.

Action:

Responsibility of Division Director

1. Justify in writing to DOA HRM the need to establish a new position(s), reallocate a position(s) or transfer a position(s).
2. Along with justification, submit new/revised position description and organizational chart.

Responsibility of DOA HRM

3. Acknowledges the receipt of request.
4. Verifies sufficient funding.
5. Researches history of the position.
6. Researches organizational structure.
7. Schedules an interview with incumbent and/or Supervisor and Division Director.
8. Conducts job analysis and internal comparative studies.
9. Consults with Office of State Personnel when necessary.
10. Determines a classification and a salary grade assignment to be recommended.
11. Prepares Form PD-118 and classification documentation to recommend position classification.
12. Sends packet to State Personnel (within 30 days of receipt of information from division).

Responsibility of State Personnel

13. Reviews, approves/disapproves change(s) within 30 days of receipt.
14. Returns a copy of approved or revised Form PD-118 to DOA HRM.

Responsibility of DOA HRM

15. Drafts memo to Division Director notifying of the action(s) approved or modifications to DOA HRM's request.

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Policies

Section:	<u>Human Resources Management</u>	Number:	<u>HRM-008</u>
Subject:	<u>Salary Administration Guidelines</u>	Eff. Date:	<u>1-1-2003</u>
Approved by:	<u>Secretary Swinson</u>	Page	1 of 1

Purpose:

To establish a policy for ensuring that employee salaries are correctly and equitably established according to State Personnel policy, that employees are paid in a timely manner, when promised and that salary reserve is used equitably throughout DOA.

Policy Statement:

When salaries are set by the Salary Administrator, the application is reviewed for education and experience as set forth by Office of State Personnel (OSP) class specifications. Salary is calculated based on education and experience above the minimum requirement of the specification. An applicant may be qualified for a certain salary amount, but may be offered a lower salary due to equity between other employees within the class and budget constraints (salary reserve availability).

OSP policy for promotions and reallocations states that employees have to be awarded at least 5 percent and may be awarded an increase of 5 percent per pay grade increase. However, it is the policy of DOA not to exceed a maximum increase of 15 percent if moving 3 or more pay grades. There may be exceptions to how much of an increase an employee receives. The employee must qualify for the percent recommended; employee's salary cannot be increased above the maximum of the pay grade; employees moving several grades have to go to at least the minimum of the new grade; and less than 10 percent will be awarded for an employee moving 2 grades or more, if an inequity is created.

In-salary adjustments

An in-range adjustment is an increase in an employee's salary within the employee's current salary range and within the agency where the employee is currently employed.

It is the policy of the State Personnel Commission to allow agencies to administer programs to grant in-range adjustments to employees in order to:

- recognize job change,
- establish equitable salary relationships, and/or
- respond to labor market conditions.

When a Division Director feels as though an employee deserves an in-range salary adjustment, he/she should complete the In-Range Salary Adjustment form (located on the next page) and submit it to the HRM Office along with a memo, addressed to the Personnel Director, expressing the request.

Please contact the HRM Office for any needed assistance or questions concerning salary administration issues (733-4606).

Reference: Salary Administration, section 4, page 50, State Personnel Manual

Back to **Table of Contents**
Back to **Index**

In-Range Salary Adjustment Worksheet: Job change and Labor Market

Employee Name: _____ Position Number: _____

Job Title: _____ Current Salary: _____

I. Maximum Possible Salary Based on Job Change

A. Summary of job change: _____

Higher level duties _____ Increase in Variety and Scope _____

B. Maximum possible salary based on job change:

Section _____ % Increase _____ Maximum Salary _____

II. Maximum Possible Salary Based on Labor Market

A. Summary of labor market conditions: _____

Reduce turnover _____ Difficulty in recruiting _____
Retention _____ Other conditions (specify) _____

B. Maximum possible salary based on labor market _____

III. Calculation of Maximum Salary Based on 10% Per Year Limitation

In-range adjustments in the last 12 months

Date	Salary Before Increase

Maximum salary based on the 10% rule _____

IV. Salary Recommendation

A. Maximum salary possible _____

Salary recommendation _____

Comments - _____

Signatures:

Division Director _____ Date _____

Secretary/Deputy Secretary _____ Date _____

Department of Administration Internal Operating Policies

Section: Human Resources Management **Number:** HRM-009
Subject: Special Work Assignments **Eff. Date:** 1-1-2003
Approved by: Secretary Swinson **Page 1 of 1**

Purpose:

To establish a policy regarding the time an employee may spend on activities associated with official departmental committees and/or task force groups (Insurance Committee, Equal Employment Opportunity Committee, etc.).

Policy Statement:

In an effort to encourage and promote employee participation in departmental projects and activities which enhance the quality of work life, supervisors and managers shall provide employees reasonable time away from their assigned duties to pursue such activities. Employees interested in serving on official departmental committees shall express their interest to their immediate supervisor and gain his/her approval to participate. The employee must document all time spent in special project or committee work.

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Policies

Section: Human Resources Management **Number:** HRM-010
Subject: Workers' Compensation (Policy) **Eff. Date:** 1-1-2003
Approved by: Secretary Swinson **Page 1 of 1**

Purpose:

The purpose of this policy is to insure that employees injured on the job are provided compensation in accordance with the Workers' Compensation Act and to provide consistent application of these rules and regulations. Further, the purpose is not only to provide swift and certain remedy to an injured employee, but also to ensure a limited and determinate liability for the employer.

Policy Statement:

The Workers' Compensation law provides medical benefits and disability compensation including a weekly compensation benefit for time lost. The weekly benefit is equal to 66 2/3 of the employee's average weekly earnings up to a maximum established by the Industrial Commission each year. When an employee is injured, the employee must go on workers' compensation leave and receive workers' compensation weekly benefits after the waiting period required by G.S. 97-28.

Reference: Workers' Compensation Administration, Section 6, Page 7, State Personnel Manual

Back to **Table of Contents**
Back to **Index**

Department of Administration Internal Operating Procedures

Section: Human Resources Management **Number:** HRM-011
Subject: Workers' Compensation (Procedure) **Eff. Date:** 1-1-2003
Approved by: Secretary Swinson **Page** 15 **of** 39

Purpose:

To set forth steps to follow to implement the Workers' Compensation Policy when an accident occurs on the job.

Action:

Responsibility of Employee

1. Immediately report the injury to his/her supervisor.

Responsibility of Supervisor

2. Evaluate the injury and determine the type of treatment necessary.

Responsibility of Personnel Contact

Note: The selected pharmacy must be given the "Medical Authorization Form" along with the prescription. If your employee submits a receipt for his/her prescription, you will know that the above procedure did not occur. Notify the Safety Director of HRM.

3. Hand the employee a Workers' Compensation Handbook (It is down loadable from the Internet <http://www.doa.state.nc.us/doa/hrm/safety.htm>).
4. Direct the injured employee to the appropriate CompCare Provider.
5. Issue a "Medical Authorization Form" to the injured employee.

Note: The Workers' Compensation Act (#97-25) states that the employer shall direct the injured employee to the physician of the employer's choice. The employee can only select a physician with written prior approval from the Industrial Commission. The Industrial Commission has a set fixed schedule in which providers are reimbursed up to an allowable amount for a particular procedure.

In most cases the CompCare Provider will be Concentra Medical Center on Green Road off Capitol Blvd (790-0288). If there are no CompCare Providers in the area, the employee should be sent to the selected CompCare Provider chosen by division management.

In the event of a serious injury, the employer should bypass the Primary Care Provider and send the injured employee directly to the emergency room or to a specialist.

6. Call the Primary Care Provider and advise them that an injured employee is on the way to the facility. Also, inform the Primary Care Provider as to how the accident occurred.
7. Form 19 (Employer's Report of Injury to Employee) must be filed and sent via email to the Safety Director **within 24 hours** of notification of the injury!
8. Fill out Form 19 completely. (Any questions about filling out these forms or obtaining more forms should be directed to the claims representative.)
9. Make sure employee signs the back of the form.

10. Give employee a copy of both sides of the form.
11. Keep a signed copy on file.
12. Complete an Incident Investigation form, attach it to a copy of the Form 19 and send to your claims representative.
13. Notify the HRM Salary Administrator once the employee has been absent five (5) business days due to the injury to take care of payroll issues.

Responsibility of Employee

14. If medication is prescribed, present the "Medical Authorization Form" to a preferred Pharmacist.

Note: The Pharmacist should retain the "Medical Authorization Form." The Pharmacy Network will bill Key Risk Management Services, Inc. directly.

15. Keep in touch with the employee. Require him/her to call in weekly and report their progress.
16. Review medical records. This information will ensure that the division is well informed of progress and problems, and facilitate identification of alternate duty.
17. Provide alternate duty as soon as possible.
18. Work as a partner with the claims representative.

Note: In case of a catastrophic injury, please call HRM (733-4606) and Key Risk Management immediately.

Key Risk Management

During working hours: 1-800-942-0225 or 1-800-366-1511 (automated attendant)

After 5:00 p.m.: 1-800-849-8021

Fax (general correspondence): 1-910-605-7300

Forms are located on the DOA "j" drive. If you do not have access to the "j" drive, please contact the Safety Director located in the HRM Office.

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Policies

Section: Human Resources Management **Number:** HRM-012
Subject: Overtime Compensation For Positions Not Subject To FLSA **Eff. Date:** 1-1-2003
Approved by: Secretary Swinson **Page 1 of 2**

Purpose:

This policy addresses leave in lieu of pay for employees who are exempt from the Fair Labor Standards Act (FLSA). The Secretary of DOA has total discretion within the State's policy for compensatory leave for the administration of this policy.

Policy Statement:

Under the State Personnel policy on Hours of Work and Overtime Compensation (State Personnel Manual, Section 4, page 79), certain employees are designated as executive, professional and administrative employees, and are ineligible to receive overtime compensation. Nevertheless, that policy allows each agency to adopt a compensatory leave policy for those employees in accordance with the general state compensatory leave policy (State Personnel Manual, Section 5, page 37).

Some positions require extensive evening and weekend work to include working longer than an eight-hour day to complete program activities. Employees must receive advance approval from the supervisor to earn compensatory time. Normal work schedules may be altered on a case by case basis at the supervisor's discretion only with prior notice being given. Schedules are not to be altered at the employee's discretion without prior approval by the supervisor. Alterations to schedules include, but are not limited to, extending/shortening lunch periods, changing the time of scheduled lunch period, arriving early or staying late for the purpose of making up or accumulating time and/or taking work home.

In accordance with that policy, the Secretary of DOA has determined that these employees should be granted compensatory leave and established this internal policy for that purpose.

Guidelines

a) Eligibility

Positions are designated as exempt based on FLSA provisions.

The definitions of executive, administrative and professional employees as set out in the State Personnel Manual shall be used to determine eligibility for compensatory leave under this policy (State Personnel Manual, Section 4, pages 88-98). All other employees will be entitled to overtime compensation pursuant to Section 4 of the State Personnel Manual.

b) Authorization

An employee must be authorized by his/her supervisor to work overtime and earn compensatory time. Unauthorized overtime will not result in compensatory leave. An employee must obtain prior approval from his/her supervisor to work overtime to include hours worked at home as hours worked for the purpose of this policy. Employees

who are under the Telework Policy will follow the guidelines of this policy for compensatory leave.

c) Amount

Compensatory time is granted on an **hour for hour** basis. Overtime worked shall be recorded and compensated in units of one-tenth on an hour. The maximum amount of compensatory leave that may be earned in one calendar year is 160 hours.

d) Noncumulative

Compensatory leave is not cumulative beyond a 12-month period. For this reason, an employee must be required to take compensatory leave as soon as possible after it is earned.

e) Nontransferable

Compensatory leave may not be transferred to any other type of leave and so cannot be converted to vacation or sick leave, but may be used in lieu of such leave with the supervisor's approval. Compensatory leave cannot be used to account for leave previously taken.

Compensatory leave cannot be transferred to another State department.

f) Leave without pay

Compensatory leave must be exhausted prior to any other leave being exhausted before going on leave without pay.

g) Separation

Compensatory leave is lost when an employee is separated from State service. The employee's separation date may not be moved forward in order to pay for compensatory time.

h) Record Keeping

A record of compensatory leave earned and taken must be fully documented and kept with the employee's timesheet. Documentation should include the date compensatory leave was earned, the authorized signature of the supervisor granting permission to work overtime, the reason or nature of the work resulting in overtime and amount of compensatory leave earned and taken.

i) Use of Compensatory Leave

Compensatory leave shall be taken only upon the supervisor's prior approval and in consideration of agency needs and the impact such leave would have on performance and operations.

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Policies

Section:	<u>Human Resources Management</u>	Number:	<u>HRM-013</u>
Subject:	<u>Overtime Compensation For Positions Subject To FLSA</u>	Eff. Date:	<u>1-1-2003</u>
Approved by:	<u>Secretary Swinson</u>	Page	1 of 1

Purpose:

To establish a policy regarding overtime compensation and compensatory leave for positions subject to FLSA.

Policy Statement:

Those employees whose positions have been designated as subject to the federal Fair Labor Standards Act (FLSA) shall receive compensatory time at the rate of one and one-half times the amount of time worked beyond forty (40) hours during a week. Such time off should be taken within one year from the date the overtime is performed. If compensatory time is not given within one year, the overtime pay must be included in the employee's next regular paycheck. Employees may not arbitrarily decide when they will work overtime, nor may they volunteer to work beyond 40 hours. It is the sole responsibility of supervisors and managers to determine the need for overtime and to schedule overtime work.

Some positions require extensive evening and weekend work to include working longer than an eight-hour day to complete program activities. Employees must receive advance approval from the supervisor to earn compensatory time. Normal work schedules may be altered on a case by case basis at the supervisor's discretion only with prior notice being given. Schedules are not to be altered at the employee's discretion without prior approval by the supervisor. Alterations to schedules include, but are not limited to, extending/shortening lunch periods, changing the time of scheduled lunch period, arriving early or staying late for the purpose of making up or accumulating time and/or taking work home.

In determining the number of hours worked by an employee within a given work week, time spent on vacation, sick leave and holidays will not be counted as time worked. Such time off will be included in straight-time pay.

References: Section 4, page 79, State Personnel Manual

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Policies

Section:	<u>Human Resources Management</u>	Number:	<u>HRM-014</u>
Subject:	<u>Adverse Weather</u>	Eff. Date:	<u>1-1-2015</u>
Approved by:	<u>Secretary Daughtridge</u>	Page	1 of 2

Purpose:

To provide information on expectations of employee attendance during adverse weather. This policy sets forth guidelines for the closing of offices and accounting for leave time. This policy refers to those employed in a permanent position.

Policy Statement:

Accounting for Time

When a non-mandatory employee does not report to work, reports to work late, or leaves work early during adverse weather conditions, or when it has been determined that non-mandatory operations will be suspended due to adverse weather conditions, time lost from work shall be charged to accrued compensatory time (i.e., holiday, overtime, gap hours, callback, on-call, travel, or emergency closing comp time). If the employee does not have accrued compensatory time or have sufficient compensatory time to cover the entire period of absence, then the employee has the following options to account for time lost from work:

- * use vacation leave,
- * use bonus leave, or
- * request approval to take leave without pay (LWOP).

Where operational needs allow, and a supervisor approves, an employee may be allowed to make up the time lost to adverse weather in accordance with the provisions outlined below. Make-up time is not an employee entitlement. In all cases, make-up time must be supported by an operational need, and not the individual employee's desire to make up time lost due to adverse weather rather than taking vacation or bonus leave or leave without pay.

Make-up time shall only be approved by the supervisor in lieu of vacation leave, bonus leave or LWOP. Employees with sufficient accrued compensatory time to cover the adverse weather absence shall not be eligible to make up the adverse weather time.

Employees who are on prearranged vacation leave or sick leave will charge leave to the appropriate account with no provision for make-up time.

Adverse weather options only apply during the period of time designated by the National Weather Service as adverse weather conditions as defined by this policy. The adverse weather policy does not cover child or elder care issues resulting from school/day care center closing decisions that may occur in advance or after adverse weather warnings are issued and expire. For such situations, vacation leave is the appropriate category to account for such absences, or an employee with insufficient leave balance may request permission to take leave without pay.

Make-Up Provisions

If management approves adverse weather make-up time, the supervisor shall be responsible for scheduling make-up time within the same pay period as the adverse weather event, if possible.

If make-up time cannot be scheduled within the same pay period, management shall schedule the make-up time within 90 days of the adverse weather absence. Management may schedule make-up time in a workweek which results in overtime, if there is a bona-fide operational need to schedule overtime work. The supervisor shall notify the employee when make-up time is approved and scheduled. Upon notice of approval, the employee is expected to report to work and perform the make-up work as scheduled. Management and employees shall cooperate in making reasonable efforts to arrange schedules and identify operational needs for overtime work in order to enable an employee to be given the opportunity to make-up time not worked, rather than charging it to leave.

Employees who volunteer to make up time on a holiday will not receive Holiday Premium Pay or equal time off with pay. Supervisors must approve working on a holiday to make up adverse weather time.

Time lost to adverse weather must be made up within 90 days from the occurrence of the absence. If it is not made up within 90 days, vacation or bonus leave shall be charged. If there is not sufficient vacation or bonus leave to cover the absence, payment for the time originally paid as adverse weather leave shall be deducted from the employee's next paycheck.

If an employee has an outstanding adverse weather leave liability (balance of leave approved for make-up), all additional time worked after the adverse weather absence shall be credited toward resolving the adverse weather liability. This includes compensatory time earned for holidays, overtime, gap hours, callback, on-call, travel or emergency closings.

For the comprehensive policy, refer to the State Human Resources Manual, Adverse Weather, section 5, page 1

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Policies

Section:	<u>Human Resources Management</u>	Number:	<u>HRM-015</u>
Subject:	<u>Flexible Work Options (Policy)</u>	Eff. Date:	<u>1-1-2003</u>
Approved by:	<u>Secretary Swinson</u>	Page	1 of 2

Purpose:

To implement alternatives for employees that will help alleviate stress associated with balancing work and personal life.

Policy Statement:

Use of this option within a division is strictly the decision of the Division Director. Employee participation in a flexible work option program is a privilege, not a right. An employee's eligibility is dependent upon their job and function within a division. Selection should also be based on the employee's track record and ability to work longer days independently. Employees who abuse their schedules should not be allowed to participate.

Agencies may choose to utilize a variable work schedule that allows employees to choose a daily work schedule and meal period, which, subject to agency necessities, is most compatible with their personal needs.

Supervisors are responsible for arranging operating procedures that are consistent with the needs of the agency and the public it serves, and accommodating, as far as possible, the employee's choice of daily work schedule within the established limits. If any adjustments of employee work schedules are necessary, this should be done as fairly and equitably as possible.

Employees and supervisors must agree on the schedules established.

The following limitations shall apply to variable work schedules:

- An employee who arrives later than scheduled, may be permitted to make up the deficit by working that much longer at the end of the workday if this is consistent with the work needs of the agency. Otherwise, the tardiness shall be charged to the appropriate leave category. Supervisors shall be responsible for taking appropriate action to correct any abuse or misuse of this privilege, which may include deductions from employee's pay.
- If an employee reports to work early, the employee may, with the supervisor's permission, begin work at that time and leave at a correspondingly early hour.
- If an employee leaves work early without permission, the time shall be deducted from the employee's pay or may be charged to the appropriate leave account if justified.
- An employee may not work later than scheduled unless the supervisor has approved it due to workload.

Employees in positions that are subject to FLSA

Due to the fact that employees in positions subject to FLSA can only work a total of 40 hours

per week, compensatory time is awarded for any time worked over that amount in a week. Therefore, time taken off must be within the one-week period. Examples are as follows: 4 days, working 10 hours per day, with 1 day off during the week; 4 days, working 9 hours per day, working a half-day during the week.

Employees in positions that are not subject to FLSA

Employees in positions not subject to FLSA have more flexible work options available. Examples are as follows: 4 days working 9 hours per day, working a half day during the week; 4 days working 10 hours per day, with 1 day off during the week; within a 2-week period, work eight 9-hour days and one 8 hour-day with 1 day off.

Work schedules must be arranged so that employees who choose to work flexible hours are provided with adequate supervision.

Reference: HRM-016, Flexible Work Options (Procedure), [DOA Policy and Procedure Manual](#)

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Procedures

Section: Human Resources Management **Number:** HRM-016
Subject: Flexible Work Options (Procedure) **Eff. Date:** 1-1-2003
Approved by: Secretary Swinson **Page** 1 **of** 1

Purpose:

To implement alternatives for employees that will help alleviate stress associated with balancing work and personal life.

Action:

Responsibility of Supervisor

1. Each new employee shall be given detailed information about the variable work schedule, and given the opportunity to select the schedule preferred prior to reporting for work.
2. Work schedules are to be associated with individuals and not with positions, with the exception that there may be positions, which must be filled on some, predetermined schedule. In these exceptional cases, applicants shall be informed of this predetermined schedule prior to any offer and acceptance of employment.
3. The employee and the supervisor shall agree upon the schedule to be followed, consistent with the needs of the agency.
4. Each supervisor shall compile a record of the work schedules for all subordinates.

Note: Agency administrators shall be responsible for providing adequate supervision for each work unit during the hours employees are scheduled to work. This can be accomplished by sharing or by delegation of authority to supervisors.

Reference: HRM-015, Flexible Work Options (Policy), DOA Policy and Procedure Manual

Back to **Table of Contents**

Back to **Index**

Department of Administration
Employee Work Schedule Selection Form

Name: _____

Section: _____

Branch: _____

Option #1: Five nine-hour days each week with a lunch period of 1 hour per day.

Both Subject and Exempt employees may select this option.

	Monday	Tuesday	Wednesday	Thursday	Friday
Week #1					
Week #2					

Option #2: Four ten-hour days each week with a lunch period of 1 hour per day, and one four-hour day. The four-hour day should occur the same day and time each week.

Both Subject and Exempt employees may select this option.

	Monday	Tuesday	Wednesday	Thursday	Friday
Week #1					
Week #2					

Option #3: Eight ten-hour days, one nine-hour day, and one day off during a two-week period.

Employees take a lunch period of 1 hour each day. The FLEX day off should regularly occur the same day and time slot each week.

Only Exempt employees may select this option.

	Monday	Tuesday	Wednesday	Thursday	Friday
Week #1					
Week #2					

I understand that I am expected to adhere to this schedule, unless my supervisor approves exceptions or changes in advance.

Date

Employee

Date

Supervisor

Department of Administration Internal Operating Policies

Section: Human Resources Management **Number:** HRM-017
Subject: Vacation and Sick Leave (Policy) **Eff. Date:** 1-1-2003
Approved by: Secretary Swinson **Page 1 of 1**

Purpose:

To provide information pertaining to the granting and use of vacation and sick leave.

Policy Statement:

Vacation leave is credited to employees who are in pay status (working, on paid leave or on workers' compensation leave) for one-half or more of the regularly scheduled workdays and holidays in the pay period at a rate according to the following table (for full-time employees):

Total years of service	Hours granted per month
Less than 2 years	7 hours and 50 minutes
2 but less than 5 years	9 hours and 10 minutes
5 but less than 10 years	11 hours and 10 minutes
10 but less than 15 years	13 hours and 10 minutes
15 but less than 20 years	15 hours and 10 minutes
20 years or more	17 hours and 10 minutes

Employees are expected to come to work regularly and perform assigned duties and responsibilities. Paid vacation is credited to employees to allow them to renew themselves physically and mentally in order to remain fully productive in the work environment. Employees are encouraged to request this leave during the year in order to achieve this purpose, but should manage their time wisely. All vacation leave is subject to supervisory approval. Exceptions to requesting leave one week in advance will be made on a case by case basis subject to supervisory approval.

Sick leave is granted to employees who are in pay status for one half or more of the regularly scheduled workdays and holidays in the pay period. Full-time employees earn eight hours of sick leave each month.

Employees may request this leave for personal or family illness. Sick leave requests for medical appointments are to be submitted a minimum of one week in advance of the leave time to the immediate supervisor. In cases of unexpected illness, the employee must first contact their immediate supervisor within 15 minutes of their reporting time, the day of the unscheduled absence and seek approval for the absence. If the supervisor is unavailable, then the employee should contact the supervisor's designee and request approval for absence from work. If neither of them is available to speak with personally, then the employee should leave a detailed voice mail message with supervisor on the nature of the absence and the expected duration of their absence. Every attempt will be made to satisfy the request. However, final approval is always at the supervisor's discretion based on staffing and operational needs.

Reference: Vacation Leave, section 5, page 1, State Personnel Manual
Sick Leave, section 5, page 7, State Personnel Manual

Back to **Table of Contents**
Back to **Index**

Department of Administration Internal Operating Procedures

Section: Human Resources Management **Number:** HRM-018
Subject: Vacation and Sick Leave (Procedure) **Eff. Date:** 1-1-2003
Approved by: Secretary Swinson **Page** 1 **of** 1

Purpose:

To provide a clear and concise procedure for employees to report vacation and sick leave.

Action:

Responsibility of Employee:

1. Obtains prior verbal approval from immediate supervisor to take leave from work. In the case of emergency leave, notifies supervisor as soon as possible.

Responsibility of Immediate Supervisor

2. Approves or disapproves request or report.
3. Forwards to Timekeeper.

Responsibility of the Division

4. Accumulates leave reports for all employees in division.
5. Verifies form for appropriate signatures and hours taken.
6. Timekeeper inputs leave into automated leave system by the 10th of following month.

Responsibility of DOA HRM

7. Making changes/updates to Employee Monthly Time and Leave Records after Timekeepers have completed data entry into Automated Leave System.
8. Add new employees, delete separated employees and make internal employee transfers.

Responsibility of Division

9. Verifies preceding month's leave records with electronic leave report from DOA HRM.
10. If there is an error, a call is made to DOA HRM to make correction.
11. Distributes respective leave slips to each employee.
12. Retains leave printout for most current month and individual time sheets for four years.

Responsibility of Employee

13. Retains leave record.

Reference: Vacation Leave, section 5, page 1, State Personnel Manual
Sick Leave, section 5, page 7, State Personnel Manual

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Policies

Section: Human Resources Management **Number:** HRM-019
Subject: Overdrawn Leave **Eff. Date:** 1-1-2003
Approved by: Secretary Swinson **Page 1 of 1**

Purpose:

To establish a policy for docking employees pay for overdrawn leave.

Policy Statement:

The DOA HRM Office shall report to the Office of Fiscal Management any employee who has an overdrawn leave balance as of December 31. Salaries of employees with an overdrawn leave balance shall be reduced to equal the amount of time overdrawn in the February paycheck. Copies shall be sent to the Division for employee notification.

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Procedures

Section:	<u>Human Resources Management</u>	Number:	<u>HRM-020</u>
Subject:	<u>Leave of Absence</u>	Eff. Date:	<u>1-1-2003</u>
Approved by:	<u>Secretary Swinson</u>	Page	1 of 1

Purpose:

To establish a systematic and standardized system for employees to request a leave of absence.

Action:

Responsibility of Employee

1. Applies in writing for Leave Without Pay to immediate supervisor. The request must include specific reasons for the extended leave and a statement of intent to return to work.
2. Informs the immediate supervisor in writing of specific date of planned return to work. Immediate supervisor must receive this notice at least 30 days prior to the proposed return date.
3. Immediately, notifies immediate supervisor if decision is made not to return to work.
Note: Failure to report to work on proposed return date may be considered a resignation.
4. If request for a leave of absence is approved, employee must contact Human Resources Benefits Representative (HRBR) in DOA HRM regarding insurance and other benefits.

Responsibility of Immediate Supervisor

5. Reviews request for leave without pay in conjunction with Division Director to approve or deny.
6. If approved, Division Director must send Personnel Action Request Form and Employee Monthly Time and Leave Record to DOA HRM.

Responsibility of DOA HRM

7. Reviews information submitted by Division Director and prepares PD-105 to place employee on Leave Without Pay status.
8. A copy of approved PD-105 is submitted to Fiscal Management to ensure employee is paid accurately.

Responsibility of Immediate Supervisor

9. Upon employee's return to work, Supervisor, in conjunction with Division Director, prepares Personnel Action Request Form for DOA HRM stating date of employee's return to work.
10. Advises employee to consult with HRBR to coordinate reinstatement of benefits.

Responsibility of DOA HRM

11. Upon notification of employee's return to work, prepares Form PD-105 to reinstate employee.

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Procedures

Section: Human Resources Management **Number:** HRM-021
Subject: Retirement **Eff. Date:** 1-1-2003
Approved by: Secretary Swinson **Page** 1 **of** 2

Purpose:

To establish a system for smooth transition of employees from work status to retirement status.
(Full Service Retirement, Disability Retirement, Early Retirement)

Action:

Responsibility of Employee

1. Contacts DOA HRM within 90 days prior to effective date of retirement **(one business day before effective date at the latest)** to complete, sign and submit required paperwork.

Note: The effective date will always be the first of the month.

The title of forms to be completed are as follows:

- Application for Retirement (rev. 5/97)
- Authorization Agreement for Direct Deposit (rev. 10/97)
- State of North Carolina Retired Group Enrollment/change Application (rev. 4/97)

These forms are available at your division (contact your Personnel Contact), the HRM Office, the Department of State Treasurer (located at 325 North Salisbury Street, 4th floor of the Albermarle Building) or online at <http://www.treasurer.state.nc.us/retire/frbook.htm>.

Responsibility of Division

2. Sends letter to DOA HRM with retirement date and leave balances projected to the retirement date.

Responsibility of DOA HRM

3. Submits retirement forms to Fiscal Management for further completion.
4. Orders retirement certificate for employee.
5. Delivers certificate to the division

Responsibility of Fiscal Management

6. Completes bottom portion of retirement form.
7. Hand delivers forms to Retirement System.

Responsibility of Retirement System

8. Contacts employee by letter informing him/her of the different options available for retirement.

Responsibility of Employee

9. Completes any Retirement System paperwork regarding chosen option.

Note: After all forms are processed, the employee will receive their first monthly retirement benefit by mail from the Retirement System, after which a monthly direct deposit will be received.

All questions regarding monthly benefits should be directed to the Retirement System at (919) 733-4191.

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Policies

Section: Human Resources Management **Number:** HRM-022
Subject: Voting Privileges **Eff. Date:** 1-1-2003
Approved by: Secretary Swinson **Page 1 of 1**

Purpose:

To establish a policy to allow time off to vote.

Policy Statement:

Employees are encouraged to exercise their voting privileges by voting in all elections. It is recognized that due to commuting requirements and other factors, some employees are unable to vote before or after regular working hours. It is the intent of this policy to permit all employees ample time for voting. Therefore employees may be authorized reasonable time off to vote at the discretion of appropriate management in an employing unit.

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Policies

Section: Human Resources Management **Number:** HRM-023
Subject: Leave for Political Activities **Eff. Date:** 1-1-2003
Approved by: Secretary Swinson **Page 1 of 1**

Purpose:

To establish a policy regarding participation in political activities.

Policy Statement:

Participation in political activity by any employee is subject to specific and strict guidelines as noted in the State Personnel Manual (section 3, page 35). Employees who wish to engage or participate in any political activity must request leave prior to the event. Appropriate management in the employee's section or division must approve or deny such requests prior to the proposed leave time.

This policy applies to all employees including those who are candidates for office or who accept paid or non-paid positions in a political campaign. This policy further applies to any employee currently serving in an elected or appointed office which is unrelated to the employee's work in the department.

Employees who are elected to public office may petition the Secretary for a leave of absence from his/her position in the department. Approval of such requests shall be at the Secretary's discretion.

Reference: HRM-018, Vacation & Sick Leave, DOA Policy and Procedure Manual

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Policies

Section: Human Resources Management **Number:** HRM-024
Subject: Mailing Confidential Personnel Records **Eff. Date:** 1-1-2003
Approved by: Secretary Swinson **Page** 1 **of** 1

Purpose:

To establish a policy governing the mailing of confidential personnel records.

Policy Statement:

Any confidential personnel records (action forms, insurance, taxes, correspondence etc.) to be communicated between two offices shall be sealed in an envelope, addressed to the appropriate person and marked CONFIDENTIAL before it is mailed through interoffice, courier, the U.S. Postal Service or hand delivered to its destination.

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Policies

Section: Human Resources Management **Number:** HRM-025

Subject: Community Service Leave **Eff. Date:** 1-1-2003

Approved by: Secretary Swinson **Page** 1 **of** 3

Purpose:

In recognition of the State's diverse needs for volunteers to support schools, communities, citizens and non-profit organizations, and recognizing the commitment of State employees to engage in volunteer service, Community Service Leave will be granted to:

- Parents for child involvement in the schools that are authorized to operate under the laws of the State of North Carolina to include elementary, middle, or high school and child care programs. Child is defined as biological, adopted, foster, or stepchild; legal ward, or a child of an employee standing in loco parentis.
- Any employee for volunteer activity in the schools listed above or in a community service. The community service organization must be a non-profit, non-partisan community organization, which is designated as a IRS Code 501 (C)(3) agency, or a human service organization licensed or accredited to serve citizens with special needs including children, youth, and the elderly.
- Any employee for tutoring and mentoring in the schools.

In addition, there are special guidelines outlined at the end of this policy for Emergency Services, Blood and Bone Marrow Donorship and Disaster Service Volunteer with the American Red Cross.

Policy Statement:

Community Service for the purpose of this policy is:

- Meeting with a teacher or administrator concerning the employee's child,
- Attending any function sponsored by the school in which the employee's child is participating. This provision shall only be utilized in conjunction with **non-athletic** programs that are a part or supplement to the school's academic or artistic program,
- Donating time to perform school-approved volunteer work approved by a teacher, school administrator, or program administrator; or
- Donating time to perform a service for a community service organization. It does not include attendance or participation in an event in which no service is performed.

Covered Employees and Amount of Leave

An employee whose **job performance** is **satisfactory** is eligible for Community Service Leave as follows:

TYPE OF APPOINTMENT	AMOUNT GRANTED
Full-time permanent, probationary, trainee, or time-limited	24 hours per year or 1 hour per week (up to a maximum of 36 hours) for mentoring/tutoring or (as outlined below)
Part-time (20 hours per week or more) - permanent, probationary, trainee, or time-limited	Prorated - equal to percentage of full-time amount
Temporary, intermittent, or part-time less than 20 hours per week	None

Twenty-four (24) hours of paid leave shall be credited to each permanent full-time employee on January 1 of each year; permanent part-time employees' leave shall be prorated. If the employee chooses the **mentoring/tutoring** option, 12 additional hours of leave shall be added to the permanent full-time employees' leave record; permanent part time employees' leave shall be prorated. New employees shall be credited with leave immediately upon their employment, prorated at two (2) hours per month for the remainder of the calendar year. Community Service Leave not taken in a calendar year is forfeited; it shall not be carried over into the next calendar year. Employees shall not be paid for this leave upon separation from State government.

Tutoring and Mentoring

In lieu of the 24-hour award as noted above, an employee may choose to tutor/mentor in the public schools. Leave under this option shall be used exclusively for tutoring or mentoring a student in accordance with established standards rules and guidelines for such arrangements as determined and documented by **joint agreement with the employee's agency and the school**. The amount of community service leave for tutoring/mentoring is one (1) hour of community service leave for each week, up to a maximum of 36 hours that schools are in session as documented by the elected board of the local education agency or the governing authority of any non-public school; prorated for part-time employees.

NOTE: If an employee chooses to change options during the calendar year, the maximum hours that may be granted is the maximum allowed under the new option chosen minus the amount already used.

Approval of Leave

Employees must receive approval from their supervisor to use Community Service Leave. The supervisor or Division Director may require that the leave be taken at a time other than the one requested, based on the needs of the division.

Inter-agency Transfer

If an employee transfers to another State agency, any balance of community service leave not used shall be transferred to the new agency. Under the tutoring/mentoring option, the employee should secure approval from the new supervisor prior to the transfer so that any necessary changes may be communicated to appropriate officials.

Special Leave Provision

Employees are encouraged to use the privilege and opportunity to participate in life giving through blood and bone marrow donorship. Participating employees shall be given reasonable time off with pay for whole blood donation, pheresis procedure, and bone marrow transplant. Employees must receive **prior** approval from their supervisor.

If volunteer emergency services are deemed necessary by the Secretary for the Department of Administration to prevent real or eminent danger to life or property created by flooding, hurricanes, etc., time off with pay will be given to employees participating in volunteer emergency services.

Employees will be allowed additional time away from regular duties above the 24 hours of paid leave to perform significant community service activities and will be allowed to make up the time. The time must be made up within the calendar year. This does not include participation in political activities. The maximum amount of time allowed is 24 hours in a calendar year. **Prior** approval must be received from the employee's supervisor. For employees subject to the Fair Labor Standards Act (FLSA), make-up time is limited to the workweek in which the employee has not worked 40 hours due to absences for holidays, vacation, sick leave, etc.

The Department will grant leave with pay not to exceed 15 workdays in any 12-month period to participate in specialized disaster relief services within the state of North Carolina. To qualify for this additional leave, the disaster must be designated at level III or higher in the American National Red Cross Regulations and Procedures, the employee must be a certified disaster service volunteer of the American Red Cross and the employee must be requested by the American Red Cross to participate.

NOTE: Division Directors must notify the Human Resources Management Office of any employees eligible to receive approval for the above listed “special” leave.

Back to **Table of Contents**

Back to **Index**

Department of Administration Internal Operating Policies

Section:	<u>Human Resources Management</u>	Number:	<u>HRM-026</u>
Subject:	<u>Workplace Violence</u>	Eff. Date:	<u>1-1-2003</u>
Approved by:	<u>Secretary Swinson</u>	Page	1 of 1

Purpose:

To provide a reference source for workplace violence issues.

Policy Statement:

DOA follows the Workplace Violence Policy set forth by the Office of State Personnel.

Please refer to the Office of State Personnel's policy for Workplace Violence on their web site at <http://www.osp.state.nc.us/manuals/html/workplvi.htm>.

Back to **Table of Contents**

Back to **Index**